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**Administrative instruction****Staff selection system****Contents**

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The Under-Secretary-General for Management, pursuant to Secretary-General's bulletin ST/SGB/2002/5, promulgates the following:

## **Section 1**

### **Definitions**

The following definitions apply for the purposes of the present instruction:

(a) *Anticipated job openings*: job openings relating to positions expected to become available as identified through workforce planning or forecasting, for example due to the retirement of the incumbent within six months or for meeting future requirements;

(b) *Assessment*: the substantive process of evaluating applicants to determine whether they meet all, most, some or none of the requirements of the position under recruitment;

(c) *Assessment panel*: a panel normally comprised of at least three members, with two being subject matter experts at the same or higher level of the job opening, at least one being female and one being from outside the work unit where the job opening is located, who will undertake the assessment of applicants for a job opening. For D-2 level job openings, the panel should normally be comprised of at least three members, with two being from outside the department or office, and at least one female;

(d) *Central review bodies*: joint bodies established under staff rule 4.15 which are to ensure that candidates have been evaluated on the basis of approved evaluation criteria and that the applicable procedures have been followed in the process of appointing, selecting and promoting staff up to and including the D-1 level, except for advice on appointment of candidates having successfully passed a competitive examination in accordance with staff rule 4.16. Field central review bodies are established for peacekeeping operations and special political missions for the same purpose;

(e) *Documented record*: a record consisting of written, printed or electronic material that provides information or evidence. The record must be reasoned and objectively justifiable;

(f) *Evaluation criteria*: criteria used for the evaluation of applicants for a particular position. Evaluation criteria must be objective and related to the functions of the generic job profile or the individually classified job description and must reflect the key competencies that will be assessed;

(g) *Expert panel*: similar in constitution to an assessment panel, assists the Director of the Field Personnel Division, Department of Field Support or his/her designate in undertaking the assessment of applicants for a generic job opening. Hereinafter, the term assessment panel will also refer to an expert panel, unless specifically stated otherwise;

(h) *Generic job profile*: classified standard job description that encompasses a large group of related jobs with similar characteristics in terms of duties and responsibilities, education, work experience, technical skills and essential core competencies;

(i) *Generic job openings*: job openings which are based on generic job profiles, used for the purpose of creating and maintaining viable rosters of qualified and available candidates for immediate and anticipated job openings identified through workforce planning in entities with approval to use roster-based recruitment, peacekeeping operations, special political missions and other field operations;

(j) *Geographic status*: status given to staff in the Professional and above categories on initial appointment for one year or longer against a position subject to "equitable geographical distribution" and to the application of the system of desirable ranges, namely, a regular budget post in the Secretariat at the Professional level or above (except language positions up to and including P-5). All successful candidates in a national competitive recruitment examination also receive "geographic status". Once geographic status has been given, it is retained throughout the period of uninterrupted service of the staff member, regardless of the nature of the position or functions to which the staff member may subsequently be assigned;

(k) *Head of department/office*: official appointed by the Secretary-General to lead a department, office, regional commission or other major organizational unit of the Secretariat who is directly accountable to the Secretary-General in the exercise of the functions set out in section 5 of ST/SGB/1997/5 (as amended by ST/SGB/2002/11);<sup>1</sup>

(l) *Head of mission*: official appointed by the Secretary-General to lead a peacekeeping operation or special political mission who is directly accountable to the Secretary-General for the implementation of the mission's mandate as well as the effective management of the mission's resources;

(m) *Hiring manager*: the official responsible for the filling of a vacant position. The hiring manager is accountable to his/her head of department/office to ensure the delivery of mandated activities by effectively and efficiently managing staff and resources placed under his or her supervision and for discharging the other functions listed in section 6 of ST/SGB/1997/5 (as amended by ST/SGB/2002/11);

(n) *Immediate job openings*: job openings relating to positions that have become available unexpectedly, such as, upon separation from service in cases other than retirement, the selection of the incumbent for other functions or the creation of new positions owing to the establishment of new offices or due to surge requirements or following a change in mandate, including that of a peacekeeping operation, special political mission or other field-based initiative;

(o) *Internal applicants*: serving staff members holding an appointment under the Staff Rules, other than a temporary appointment, who have been recruited after a competitive process under staff rule 4.15 (review by a central review body) or staff rule 4.16 (competitive recruitment examination). Staff members of the separately administered United Nations funds and programmes are not considered internal applicants. However, women who are serving with the separately administered United Nations funds and programmes or any specialized agency or organization of the United Nations common system holding a current appointment at the P-3 or P-4 levels and who have been in service for a continuous period of 12 months and

<sup>1</sup> As may be replaced by a new bulletin on the subject.

whose appointments have been reviewed by a review body or equivalent in their organization are considered internal applicants for positions at the P-4 or P-5 levels, respectively. Associate experts (Junior Professional Officers) are not considered internal applicants;

(p) *Job opening*: vacancy announcement issued for one particular position or for a set of job openings;

(q) *Lateral move*: movement of a staff member to a different position at the same level for the duration of at least one year. The new position may be in the same or a different department or office, in the same or a different duty station and in the same or a different occupational group. Inter-agency loans or other movements to and from other organizations of the United Nations common system are recognized as "lateral moves". Within the same department or office, a lateral move will normally involve a change in functions with or without a change of supervisor. When the supervisor remains the same, there will be a lateral move if the responsibilities are substantially different, for example, if there is a different area of responsibilities or a change in the departments/offices serviced by the staff member. A change in supervisor without a change in functions does not represent a lateral move. Temporary assignments of at least three months but less than one year, with or without special post allowance, shall also qualify as a lateral move when the cumulative duration of such assignments reaches one year;

(r) *Mission*: a United Nations peacekeeping operation or special political mission;

(s) *Occupational groups*: occupations and sub-occupations grouped into categories of work on the basis of similarity of function;

(t) *Occupational group manager*: an official responsible for managing the supply of available candidates with the necessary qualifications and expertise to meet the staffing requirements identified through workforce planning for a specific occupational group or groups in peacekeeping operations and special political missions;

(u) *Position*: for the purpose of this instruction refers to an established post or other job profile within an occupational group, as well as the knowledge, attributes and skills required, as identified through a classification review, to perform the functions for which the General Assembly approved funding for at least one year, including positions funded by General Temporary Assistance;

(v) *Position-specific job opening*: a job opening used for the filling of an individual position at a specific duty station;

(w) *Roster*:<sup>2</sup> a pool of assessed candidates reviewed and endorsed by a central review body and approved by the Head of Department/Office/Mission who are available for selection against a vacant position. Roster candidates may be selected without referral to a central review body;

(x) *Selection decision*: decision by a head of department/office to select a preferred candidate for a particular position up to and including the D-1 level from a list of qualified candidates who have been reviewed by a central review body taking

<sup>2</sup> This definition does not apply to rosters of candidates maintained pursuant to staff rule 4.16 on competitive examinations.

into account the Organization's human resources objectives and targets as reflected in the departmental human resources action plan, especially with regard to geography and gender, and giving the fullest regard to candidates already in the service of the Organization as well as those encumbering posts that are slated for abolition or are serving in secretariat entities undergoing downsizing and/or liquidation. Selection decisions for positions at the D-2 level are made by the Secretary-General following review by the Senior Review Group;

(y) *Temporarily vacant position*: position blocked for a specific period of time for the return of a staff member on temporary assignment, mission assignment, special leave, secondment, or loan;

(z) *Vacant position*: position approved for one year or longer that is not blocked for the return of a staff member on temporary assignment, mission assignment, special leave, secondment or loan.

## **Section 2**

### **General provisions**

2.1 The present instruction establishes the staff selection system (the "system"), which integrates the recruitment, placement, promotion and mobility of staff within the Secretariat.

2.2 Staff in the Professional and above categories, up to and including those at the D-2 level, are expected to move periodically to different positions in different organizational units, duty stations, missions or occupational groups throughout their careers. The system provides for the circulation of job openings, including anticipated staffing needs in missions through a compendium of job openings<sup>3</sup> and specifies the lateral mobility requirement applicable for promotion to the P-5 level.<sup>4</sup>

2.3 Selection decisions for positions up to and including the D-1 level are made by the head of department/office/mission, under delegated authority, when the central review body is satisfied that the evaluation criteria have been properly applied and that the applicable procedures were followed. If a list of qualified candidates has been endorsed by the central review body, the head of department/office/mission may select any one of those candidates for the advertised job opening, subject to the provisions contained in sections 9.2 and 9.5 below. The other candidates shall be placed on a roster of pre-approved candidates from which they may be considered for future job openings at the same level within an occupational group and/or with similar functions.

2.4 Selection decisions for positions at the D-2 level are made by the Secretary-General when the Senior Review Group is satisfied that the applicable procedures were followed.

2.5 Heads of departments/offices retain the authority to transfer staff members within their departments or offices, including to another unit of the same department in a different location, to job openings at the same level without advertisement of the job opening or further review by a central review body. Heads of mission retain the authority to transfer staff members, under conditions established by the Department of Field Support, within the same mission, to job openings at the same

<sup>3</sup> See section 4 below.

<sup>4</sup> See section 6.4 below.

level without advertisement of the job opening or further review by a central review body.

2.6 This instruction sets out the procedures applicable from the beginning to the end of the staff selection process. Manuals will be issued that provide guidance on the responsibilities of those concerned focusing on the head of department/office/mission, the hiring manager, the staff member/applicant, the central review body members, the recruiter, namely, the Office of Human Resources Management (OHRM), the Field Personnel Division of the Department of Field Support, executive offices and local human resources offices as well as the occupational group manager and expert panel. Should there be any inconsistency between the manuals and the text of the present instruction, the provisions of the instruction shall prevail.

### **Section 3**

#### **Scope**

3.1 The system shall apply to the selection and appointment of all staff members to whom the Organization has granted or proposes to grant an appointment of one year or longer under the Staff Rules at the G-5 and above levels in the General Service category, TC-4 and above in the Trades and Crafts category and S-3 and above levels in the Security Service category as well as to staff in the Professional and above categories and to the Field Service category for positions established for one year or longer, irrespective of the functions or source of funding. The process leading to selection and appointment to the D-2 level shall be governed by the provisions of the present instruction. For positions at the D-2 level, the functions normally discharged by a central review body<sup>5</sup> shall be discharged by the Senior Review Group,<sup>6</sup> prior to selection by the Secretary-General.

3.2 The system shall not apply to the following:

(a) Appointments at the Assistant Secretary-General and Under-Secretary-General levels;

(b) Temporary appointments;<sup>7</sup>

(c) Appointment of staff selected through a competitive examination under staff rule 4.16, in accordance with the principle that staff are recruited primarily through competitive examination at the P-1 and P-2 levels for positions subject to geographic distribution and normally through competitive examination at the P-3 level;

(d) Movement of staff subsequent to recruitment under the provisions of the administrative instruction on managed reassignment for junior Professionals;<sup>8</sup>

(e) Movement during the first five years of service of staff serving against a P-2 or P-3 language position who are subject to the provisions of the administrative instruction setting out special conditions for recruitment or placement of candidates

<sup>5</sup> ST/SGB/2002/6 and Amendment 1, as may be amended or replaced by a new bulletin on the same subject.

<sup>6</sup> ST/SGB/2009/2, as may be amended or replaced by a new bulletin on the same subject.

<sup>7</sup> ST/AI/2010/4.

<sup>8</sup> ST/AI/2001/7, as may be amended or replaced by a new instruction on the same subject.

successful in a competitive examination for positions requiring special language skills;<sup>9</sup>

(f) Recruitment of staff from the General Service and related categories to the Professional category;<sup>10</sup>

(g) Appointment and selection at the entry level and promotion of staff in the General Service and related categories up to and including the G-4, TC-3 and S-2 levels;

(h) Appointment and selection of staff in the General Service category in peacekeeping operations and special political missions;

(i) Appointment and selection of staff in peacekeeping operations and special political missions in the National Professional Officer category;

(j) Appointment of staff selected to serve in the Executive Office of the Secretary-General or to serve as special envoys of the Secretary-General;

(k) Movement of staff previously appointed in accordance with staff rules 4.15 or 4.16 who have agreed to participate in voluntary reassignment programmes. The Assistant Secretary-General for Human Resources Management shall decide on the reassignment of each staff member, without reference to a central review body. The programmes, aiming to stimulate the development of staff, are strictly voluntary. Such movement shall be limited to incumbents of positions approved for inclusion in a voluntary lateral reassignment programme and shall not affect the application of the normal rules governing promotion or selection of staff for job openings;

(l) Lateral movements of staff by heads of department/office/mission in accordance with section 2.5 above.

3.3 Heads of departments/offices who have been delegated authority to appoint and promote staff up to and including the D-1 level for service limited to the entity concerned are encouraged to opt for the full application of the system for upcoming job openings, in which case the appointment of the individual selected as a result would not, or would no longer be, limited to service with the entity concerned.<sup>11</sup> Should the head of department/office exercise this option, the case would be considered by a Secretariat central review body and would be referred to the Secretary-General for decision if the central review body found that the evaluation criteria had not been properly applied and/or that the applicable procedures had not been followed.

<sup>9</sup> ST/AI/2000/1 (amended by ST/AI/2003/1), as may be replaced by a new instruction on the same subject.

<sup>10</sup> ST/AI/2003/7 (amended by ST/AI/2005/9), as may be replaced by a new instruction on the same subject.

<sup>11</sup> This would not necessarily, however, confer geographic status on the staff members concerned, as such status results from initial recruitment after successfully passing a competitive examination (other than a language examination) or from an appointment for one year or longer to a post subject to the application of the system of desirable ranges.

## **Section 4**

### **Job openings**

4.1 Immediate and anticipated job openings for positions of one year or longer shall be advertised through a compendium of job openings. The compendium shall include both position-specific job openings and generic job openings. The compendium shall be published electronically and shall be updated regularly.

4.2 Position-specific job openings shall be included in the compendium when:

- (a) A new position is established or an existing position is reclassified;
- (b) The incumbent separates from service;

(c) The incumbent is selected for another position under the provisions of this instruction or as a result of a lateral reassignment by the head of department/office within that department or office.

4.3 Generic job openings shall be issued in the compendium for the purpose of creating and maintaining viable rosters of qualified candidates for immediate and anticipated job openings, identified through workforce planning, in entities with approval to use roster-based recruitment, such as peacekeeping operations, special political missions and other field operations. Generic job openings shall contain information on the location of current and anticipated job openings and a clause making reference to the generic nature and roster purpose. Where such entities deem it necessary, position-specific job openings may also be issued to advertise job openings.

4.4 The hiring manager or occupational group manager shall be responsible for creating the job opening and for promptly requesting the inclusion of its announcement in the compendium, with the assistance of the executive or local human resources office.

4.5 The job opening shall reflect the functions and the location of the position and include the qualifications, skills and competencies required. Job openings, to the greatest extent possible, shall be based on generic job profiles approved by OHRM, a previously published job opening or a previously classified individual job description reflecting the actual functions of the position. The evaluation criteria of job openings created on the basis of individually classified job descriptions require approval by a central review body.

4.6 Each job opening shall indicate the date of posting and specify a deadline date by which all applications must be received. The job opening, including the evaluation criteria, shall be approved by OHRM, the local human resources offices or the Department of Field Support prior to posting.

4.7 Pre-screening questions should be prepared as part of the job opening to assist in determining an applicant's suitability for the job opening to which he/she applied. The pre-screening questions must be related to the responsibilities of the position and the experience and professionalism required to undertake the functions, as reflected in the job opening.

4.8 The deadline for applying for job openings shall normally be:

- (a) 60 calendar days after posting for position-specific job openings in the Professional and above categories, unless in cases of unanticipated job openings

OHRM or the local human resources office exceptionally approves a 30-day deadline;

(b) 30 calendar days after posting for position-specific job openings for peacekeeping operations and special political missions, unless the Department of Field Support exceptionally approves a 15-day deadline if necessary to meet immediate operational requirements;

(c) 30 calendar days after posting for project-funded positions located in the field or at headquarters duty stations or at the duty stations of the secretariats of the regional commissions and whose functions relate to the carrying out of activities directly linked to humanitarian, human rights and technical cooperation implementation in field duty stations, unless the local human resources office exceptionally approves a 15-day deadline.

4.9 Generic job openings will be posted for the period of time that is deemed sufficient to attract the number of qualified candidates sufficient to satisfy the vacancies projected through workforce planning.

4.10 The deadline for applying for job openings in the General Service and related categories shall normally be 30 calendar days after posting.

## **Section 5**

### **Applications**

5.1 Applications must be submitted in accordance with the instructions set out in the job opening, including use of the electronic platform provided for this purpose.

5.2 Applying for a job opening carries an expectation to accept it, if offered.

5.3 Staff members are encouraged to carefully consider all suitable job openings as they are expected to move periodically between positions.

5.4 An individual may apply for several job openings for which he/she feels qualified. An individual applying to a generic job opening in a peacekeeping operation or special political mission is required to indicate in which of these operations or missions he/she is interested in serving.

## **Section 6**

### **Eligibility requirements**

6.1 Staff members holding a permanent, continuing,<sup>12</sup> probationary or fixed-term appointment shall not be eligible to apply for positions more than one level higher than their personal grade. Staff members in the General Service and related categories holding a permanent, continuing or fixed-term appointment may apply for positions in the Field Service category at any level, irrespective of the grade held in the General Service and related categories, provided they meet the requirements of the post.

6.2 As of the posting date of a job opening, the minimum age to be eligible for consideration for a position is 18, with a mandatory retirement age of 60 years for

<sup>12</sup> Continuing appointments were approved by the General Assembly in its resolution 63/250 but the implementation is subject to the approval of the eligibility criteria by the General Assembly.

staff members who joined the Organization prior to 1 January 1990 and 62 years for staff members appointed from 1 January 1990 onwards.

6.3 Staff members in the Professional category shall have at least two prior lateral moves, which may have taken place at any level in that category, before being eligible to be considered for promotion to the P-5 level, subject to the following provisions:

(a) In order to meet the General Assembly's concern about high job opening rates in some regional commissions and duty stations, particularly those in developing countries, the requirement shall be reduced to one lateral move when a staff member has served in the Professional category in Nairobi or a regional economic commission other than the Economic Commission for Europe or any duty station with a hardship classification of A, B, C, D or E<sup>13</sup> for one year or longer, or when a staff member is applying for a P-5 position at those duty stations from another duty station;

(b) Staff recruited at the P-4 level shall become eligible for promotion to the P-5 level after one lateral move at the P-4 level;

(c) The requirement for lateral moves is waived when a staff member has served in the Professional and above or Field Service categories in a non-family mission or non-family duty station for one year or longer;

(d) The requirement for lateral moves is waived for staff serving against language positions that are subject to the provisions of the administrative instruction setting out special conditions for recruitment or placement of candidates successful in a competitive examination for positions requiring special language skills when applying for another such language position.

6.4 Staff in the Field Service category at the FS-6 level may apply to positions at the P-3 and P-4 levels, provided that they have served for one year at their current level and meet the academic qualifications required for an appointment to the Professional category. Staff in the Field Service category at the FS-7 level may apply to positions at the P-4 and P-5 levels, provided that they have served for one year at their current level, meet the academic qualifications required for an appointment to the Professional category and, for P-5 positions, satisfy the lateral move requirements for promotion to the P-5 level.

6.5 A staff member holding a permanent, continuing, probationary or fixed-term appointment (with no appointment limitation) assigned from a headquarters location, including regional commissions, to a position one level higher than his/her current grade in a peacekeeping operation or special political mission, where a lien is maintained against a position at the parent duty station, may temporarily be promoted to the level of the position in the peacekeeping operation or special political mission for the duration of the assignment. A staff member temporarily

<sup>13</sup> The International Civil Service Commission has placed all duty stations in one of six categories, H and A to E. H duty stations are headquarters and similarly designated locations where the United Nations has no development or humanitarian assistance programmes, or locations in countries which are members of the European Union. A to E duty stations are field duty stations. Hardship categorization assesses the overall quality of life at a duty station. In determining the degree of hardship, consideration is given to local conditions of safety and security, health care, education, housing, climate, isolation and the availability of the basic amenities of life. Duty stations are categorized on a scale of difficulty from A to E with A being the least difficult.

promoted may apply during his/her assignment in a peacekeeping operation or special political mission to job openings one level higher than his/her temporary grade level, provided that he/she has spent more than 12 months continuously in the peacekeeping operation or special political mission. At the end of his/her assignment in the peacekeeping operation or special political mission, the staff member will revert to his/her original level at the former duty station and may henceforth only apply to job openings one level above his/her original level.

6.6 The provisions of section 6.5 above also apply to staff members appointed to a peacekeeping mission or special political mission (with no appointment limitation) who are selected for an assignment to a position one level higher than their current grade at a headquarters location or regional commission.

6.7 A staff member who is considered an internal applicant and who is on secondment to a separately administered United Nations fund or programme, specialized agency or organization of the United Nations common system shall be granted a lien against a specific post for up to two years. If the staff member, while on secondment, applies for positions in the Secretariat he/she will be considered an internal applicant and is eligible to apply for a position one level higher than the one he/she currently has in the receiving organization in which the staff member is on secondment. After two years should the staff member wish to remain on secondment, the lien on the specific position shall be surrendered but the staff member retains return rights to the Secretariat up to a maximum of five years. At the end of the five years, a transfer to the receiving organization shall be initiated unless the staff member indicates that he/she would like to return to the Secretariat. In order to return to the Secretariat, the staff member is eligible to apply for positions at the level he/she had at the receiving organization or one level above. If the staff member is unsuccessful in his/her applications, he/she will have the right to return to the Secretariat at his/her level at the time of his/her release on secondment.

6.8 Pursuant to the exception set out in section 4.2 of ST/AI/2003/7, the minimum educational requirements for positions in the Professional and above categories shall be waived for staff members promoted to the Professional and above categories after having passed the G-to-P examination when applying to job openings in the Professional and above categories.

6.9 Staff serving against language positions that are subject to the provisions of the administrative instruction setting out special conditions for recruitment or placement of candidates successful in a competitive examination for positions requiring special language skills are eligible to apply for non-language positions after a continuous service of a minimum of five years in a language position.

6.10 A staff member holding a temporary appointment who is recruited in the Professional and above categories, on a temporary appointment, and placed on a position authorized for one year or longer may not apply for or be reappointed to his/her current position within six months of the end of his/her current service. This provision does not apply to staff members holding temporary appointments and placed on positions authorized for one year or more in peacekeeping operations or special political missions.

6.11 Interns, consultants, individual contractors and gratis personnel may not apply for or be appointed to any position in the Professional or above categories and for positions at the FS-6 and FS-7 levels in the Field Service category within six

months of the end of their current or most recent service. This restriction does not apply to associate experts (Junior Professional Officers) appointed under the Staff Rules.

6.12 United Nations Volunteers may not be appointed to positions in the same mission in which they last served within six months following completion of their service with the United Nations Volunteer programme. United Nations Volunteers who have served less than 12 months are not eligible for appointment in a peacekeeping operation or special political mission, unless a period of six months has elapsed following completion of the United Nations Volunteer service. United Nations Volunteers who resign may not be appointed to a position in a peacekeeping operation or special political mission within six months following the date of resignation.

## **Section 7**

### **Pre-screening and assessment**

7.1 Applicants applying to job openings will be pre-screened on the basis of the information provided in their application to determine whether they meet the minimum requirements of the job opening.

7.2 OHRM, the local human resources office or the Field Personnel Division of the Department of Field Support will release electronically to the hiring manager (for position-specific job openings) and occupational group manager (for generic job openings), within and/or shortly after the deadline of the job opening, the applications of candidates who have successfully passed the pre-screening process, together with the names of pre-approved eligible candidates, for consideration for selection.

7.3 OHRM, the local human resources office or the Field Personnel Division of the Department of Field Support has the authority to pre-screen individuals identified through an outreach strategy aiming for target groups in terms of gender, geography and/or specialized expertise within the deadline of the job opening. The applications of successful candidates will be released to the hiring or occupational group manager.

7.4 The hiring or occupational group manager shall further evaluate all applicants released to him/her and shall prepare a shortlist of those who appear most qualified for the job opening based on a review of their documentation.

7.5 Shortlisted candidates shall be assessed to determine whether they meet the technical requirements and competencies of the job opening. The assessment may include a competency-based interview and/or other appropriate evaluation mechanisms, such as, for example, written tests, work sample tests or assessment centres.

7.6 For each job opening, the hiring manager or occupational group manager, as appropriate, shall prepare a reasoned and documented record of the evaluation of the proposed candidates against the applicable evaluation criteria to allow for review by the central review body and a selection decision by the head of the department/office.

7.7 For position-specific job openings, up to and including the D-1 level, the hiring manager or occupational group manager shall transmit his/her proposal for

one candidate or, preferably, a list of qualified, unranked candidates, including normally at least one female candidate, to the appropriate central review body through OHRM, the local human resources office or the Field Personnel Division of the Department of Field Support. OHRM, the local human resources office or the Field Personnel Division shall ensure that, in making the proposal, the hiring manager or occupational group manager has complied with the process.

7.8 For generic job openings in peacekeeping operations and special political missions, the Director of the Field Personnel Division of the Department of Field Support shall ensure that the process has been complied with and that the recommendations are reasoned and organizational objectives and targets have been taken into account, and shall transmit the proposed list of qualified, unranked candidates including normally at least one female candidate to the field central review body for inclusion in a roster.

7.9 For positions at the D-2 level, heads of department/office/mission shall submit to the Senior Review Group a shortlist normally containing three names of qualified and suitable candidates, including at least one female candidate. The shortlist will be prepared following interviews by an interdepartmental assessment panel. In making such submission, due regard shall be given to candidates with diverse experience, including career mobility. The submission to the Senior Review Group from the head of department/office shall be transmitted to the Chairperson of the Senior Review Group through the Secretary of that body and shall include a comprehensive evaluation of the shortlisted candidates justifying their qualifications and suitability for the position. The submission shall also include the personal history profile of the shortlisted candidates and statistics on staff at the D-1 and D-2 levels in the department/office/mission, including information on nationality and gender.

## **Section 8**

### **Central review bodies**

8.1 The central review bodies shall review proposals for filling a position-specific job opening or for placing candidates on the roster following a generic job opening, made by the department/office or mission concerned, to ensure that applicants were evaluated on the basis of the corresponding evaluation criteria and that the applicable procedures were followed in accordance with sections 5.2 to 5.6 of ST/SGB/2002/6.<sup>14</sup>

8.2 Authority to make a selection decision with respect to a particular job opening shall be withdrawn when a central review body finds that the evaluation criteria have not been properly applied and/or the applicable procedures have not been followed. The central review body shall transmit its findings and recommendation to the official having authority to make the decision on behalf of the Secretary-General, as follows:

- (a) The Under-Secretary-General for Management for posts at the P-5 and D-1 levels;
- (b) The Assistant Secretary-General for Human Resources Management for all other posts.

<sup>14</sup> As may be amended or replaced by a new bulletin on the same subject.

## Section 9

### Selection decision

9.1 Staff members holding a permanent, continuing, probationary or fixed-term appointment should normally serve in a position for at least one year before being eligible to be appointed to another position.

9.2 The selection decision for positions up to and including at the D-1 level shall be made by the head of department/office on the basis of proposals made by the responsible hiring managers (for position-specific job openings) and occupational group managers (for generic job openings) when the central review body finds that the candidates have been evaluated on the basis of approved evaluation criteria and the applicable procedures have been followed. Recommendations for selection for positions at the D-2 level shall be made by the head of department/office/mission for review by the Senior Review Group. For positions at the D-2 level, the Senior Review Group shall provide its recommendation to the Secretary-General, who will make the selection decision. When the position to be filled involves significant functions in the management of financial, human and physical resources and/or information and communications technology, the executive or local human resources office shall inform OHRM or the Department of Field Support of the proposed selection so that the approvals required by Secretary-General's bulletin ST/SGB/2005/7<sup>15</sup> may be obtained prior to selection.

9.3 When recommending the selection of candidates for posts up to and including at the D-1 level, the hiring manager shall support such recommendation by a documented record. The head of department/office shall select the candidate he or she considers to be best suited for the functions. Prior to selection of an external candidate, that decision must be justified in writing to, and approved by, OHRM. In the final selection due consideration should also be given to staff members who are victims of malicious acts or natural disasters; serving staff members who have served under the former 200 and 300 series of the Staff Rules; candidates from troop- or police-contributing countries for positions in a peacekeeping operation or Headquarters support account-funded positions in the Department of Peacekeeping Operations, the Department of Field Support and other departments with support account resources; and prior service or employment of candidates in field duty stations, for positions for which relevant field experience is highly desirable, as applicable and as stipulated in General Assembly resolution 63/250.

9.4 Candidates for position-specific job openings up to and including at the D-1 level included in a list endorsed by a central review body other than the candidate selected for the specific position shall be placed on a roster of candidates pre-approved for similar functions at the level of the job opening, which shall be drawn from all duty stations for job openings in the Professional and above categories. The roster candidate shall be retained in a roster for a period of two years for male candidates and three years for female candidates after the first day of the month following the selection decision. Candidates included in the roster may be selected by the head of department/office for a subsequent job opening, without reference to a central review body.

<sup>15</sup> As may be amended or replaced by a new bulletin on the subject of designation of staff members performing significant functions in financial management, personnel management and general services administration.

9.5 Qualified candidates for generic job openings are placed on the relevant occupational roster after review by a central review body and may be selected for job openings in entities with approval for roster-based recruitment. The roster candidate shall be retained on an occupational roster for a period of two years for male candidates and three years for female candidates after the first day of the month following the selection decision. Should an eligible roster candidate be suitable for the job opening, the hiring manager may recommend his/her immediate selection to the head of department/office/mission, without reference to the central review body. In cases where the recommendation is for an external over an internal roster candidate, section 9.3 shall apply.

## **Section 10**

### **Notification and implementation of the decision**

10.1 The executive office at Headquarters, the local human resources offices or the Division of Field Personnel of the Department of Field Support shall inform the selected candidate of the selection decision within 14 days after the decision is made. Candidates endorsed by the central review body and placed on a roster shall be informed of such placement within 14 days after the decision is made by the hiring manager or occupational group manager and be advised that they may be selected from the roster for similar positions that may become available within the stipulated time frame as described in sections 9.3 and 9.4. Other candidates convoked for assessments but not selected or placed on a roster shall be so informed by the hiring manager or the occupational group manager within 14 days after the selection decision is made in writing. Applicants eliminated prior to the assessment exercises shall be informed.

10.2 The decision to select a candidate shall be implemented upon its official communication to the individual concerned. When the selection entails promotion to a higher level, the earliest possible date on which such promotion may become effective shall be the first day of the month following the decision, subject to the availability of the position and the assumption of higher-level functions. However, when an encumbered position has been included in the compendium after upward reclassification and an applicant other than the incumbent is selected, the decision shall be implemented only when a suitable position has been identified for the incumbent.

10.3 Selected staff members shall be released as soon as possible, and in any event no later than one month after the date on which the releasing office is notified of the selection decision, if the move is within the same duty station. For staff members selected for a position in another duty station, including those in peacekeeping missions or special political missions, the release shall be no later than two months after the releasing office is notified of the selection decision.

10.4 If the selected candidate fails to take up the functions within the specified time frames for personal reasons or vacates the position within one year, the head of department/office may select another candidate from the list endorsed by the central review body with respect to the particular job opening, or in the case of peacekeeping operations or special political missions, from the roster within the same occupational group. If no such candidate is available, the head of department/office may select another candidate from the roster or recommend the position be advertised in the compendium if no roster candidate is found to be suitable.

## **Section 11**

### **Placement authority outside the normal process**

11.1 The Assistant Secretary-General for Human Resources Management shall have the authority to place in a suitable position the following staff members when in need of placement outside the normal process:

(a) Incumbents, other than staff members holding a temporary appointment, of positions reclassified upward for which an applicant other than the incumbent has been selected;

(b) Staff, other than staff members holding a temporary appointment, affected by abolition of posts or funding cutbacks, in accordance with Staff Rule 9.6 (c) (i);

(c) Staff members who return from secondment after more than two years when the parent department responsible concerned has made every effort to place them.

After determining the availability of a suitable position in consultation with the head of department/office and the staff member concerned, the Assistant Secretary-General for Human Resources Management shall decide on the placement, in accordance with staff regulation 1.2 (c).

11.2 The Under-Secretary-General for Field Support, after consultations with the heads of the Departments of Peacekeeping Operations and Political Affairs, the head(s) of the missions involved and the staff members(s) concerned, shall have the authority to transfer staff members whose appointment is not limited to a specific mission or department, outside the normal process, between activities away from Headquarters that are administered by the Department of Field Support as well as between those activities and the Departments of Peacekeeping Operations, Political Affairs and Field Support, to suitable job openings at the same level without advertisement of the job opening or further review by a central review body.

11.3 To expedite placement of successful candidates on the roster from the national competitive recruitment examination or G-to-P examinations, the Assistant Secretary-General for Human Resources Management shall have the authority to place those candidates in P-2 positions subject to geographical distribution that, after a period of three months, have not been filled with candidates successful in a competitive examination.

11.4 Positions directly financed by project funds or other extrabudgetary resources established at the P-1 or P-2 level for one year or longer will be filled only through national competitive recruitment examination roster candidates, until such time as the roster is depleted, or through the temporary promotion of successful G-to-P candidates who are willing to assume such positions. In the event that the position continues to be funded beyond two years, the G-to-P appointee will be given the opportunity to confirm his/her willingness to relinquish his/her General Service position.

11.5 The Assistant Secretary-General for Human Resources Management shall have the authority to select successful candidates from the roster of the national competitive recruitment examination or G-to-P examinations against P-2 positions in peacekeeping operations and special political missions. Candidates selected for P-2 positions in peacekeeping or special political missions from the roster of

successful candidates from the national competitive recruitment examination and G-to-P examinations shall be granted geographic status.

## **Section 12**

### **Transitional measures**

12.1 The provisions of ST/AI/2006/3/Rev.1 shall continue to govern recruitment, placement and promotion in respect of applications for job openings advertised before 22 April 2010 through the "Galaxy" system.

12.2 The provisions of the present instruction shall apply to the selection process of candidates for positions in the peacekeeping and special political missions initiated from the effective date of this instruction.

12.3 Roster candidates falling under the provisions of section 9.3 of ST/AI/2006/3/Rev.1 shall maintain their status for the remaining period stipulated for their roster eligibility.

## **Section 13**

### **Final provisions**

13.1 The present administrative instruction shall enter into force on 22 April 2010.

13.2 Administrative instructions ST/AI/2006/3/Rev.1, entitled "Staff selection system", ST/AI/297 and Add.1, entitled "Technical cooperation personnel and OPAS officers", and ST/AI/360/Rev.1 and Corr.1, entitled "Movement of staff from the Field Service category to the Professional category", are hereby abolished.

13.3 The provisions of the present administrative instruction shall prevail over any inconsistent provisions contained in other administrative instructions and information circulars currently in force.

(Signed) Angela Kane  
Under-Secretary-General for Management



27 April 2010

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## Administrative instruction

### Administration of temporary appointments

The Under-Secretary-General for Management, pursuant to section 4.2 of Secretary-General's bulletin ST/SGB/2009/4, and for the purpose of establishing terms and conditions pertaining to the use and administration of temporary appointments in accordance with staff rule 4.12, hereby promulgates the following:

#### Section 1 General

1.1 The purpose of the temporary appointment is to enable the Organization to effectively and expeditiously manage its short-term staffing needs. Such short-term needs were defined by the General Assembly in its resolution 63/250 as "seasonal or peak workloads and specific short-term requirements for less than one year". Such temporary appointments "could be renewed for up to one additional year when warranted by surge requirements and operational needs related to field operations and special projects with finite mandates". This definition sets the criteria for the use of temporary appointments in terms of both need and duration. Procedures have been designed to allow for an expedited recruitment process while ensuring transparency and a competitive selection process.

1.2 In accordance with staff rule 4.12 (c), a temporary appointment does not carry any expectancy, legal or otherwise, of renewal and shall not be converted to any other type of appointment.

#### Section 2 Use and duration of temporary appointments

2.1 Pursuant to staff rule 4.12 (a), a temporary appointment may be granted for a single or cumulative period of less than one year to meet seasonal or peak workloads and specific short-term requirements and shall have an expiration date specified in the letter of appointment.

2.2 A temporary appointment may be granted for specific short-term requirements that are expected to last for less than one year at the time of the staff member's appointment, such as:

(a) To respond to an unexpected and/or temporary emergency or surge demand involving, for example, a natural disaster, conflict, violence or similar circumstances;

(b) To meet a seasonal or peak work requirement of limited duration that cannot be carried out by existing staff members;

(c) To temporarily fill a position whose incumbent is on special leave, sick leave, maternity or paternity leave or on assignment to a peacekeeping or special political mission;

(d) To temporarily fill a vacant position pending the finalization of the regular selection process;

(e) To work on a special project with a finite mandate.

2.3 A temporary appointment shall not be used to fill needs that are expected to last for one year or more.

2.4 In the case of staff members governed by the Association internationale des traducteurs de conférence (AITC) and the Association internationale des interprètes de conférence (AIIC) agreements, a temporary appointment may be granted for a maximum of 729 days within a 27-month period at the same duty station.

*Extension of a temporary appointment and successive temporary appointments within a period of 364 days*

2.5 Subsequent to the initial temporary appointment:

(a) A temporary appointment may be extended in the same office for a continuous period not exceeding 364 calendar days; or

(b) New temporary appointments may be granted for service in the same office or in a different office any number of times, for any duration, provided that the cumulative length of service does not exceed the period of 364 calendar days.

The period of 364 days shall be counted either starting from the first day of service under the initial temporary appointment or from the first day of service following the mandatory break in service as set out in section 14 below.

### **Section 3**

#### **Selection process for the granting of a temporary appointment**

##### *Temporary vacancy announcement*

3.1 When a need for service for more than three months but less than one year is anticipated, a temporary vacancy announcement shall be issued by the programme manager.

3.2 While the decision to issue a temporary vacancy announcement for a temporary appointment of less than three months is made at the discretion of the programme manager, any extension of three months or more shall require the issuance of a temporary vacancy announcement.

3.3 The selected candidate should be offered a temporary appointment unless he/she already holds another type of appointment, such as a fixed-term or permanent appointment.

3.4 The temporary vacancy announcement shall include a description of the qualifications, skills and competencies required and reflect the functions of the post, using to the greatest possible extent the database of generic job profiles maintained by the Office of Human Resources Management. Each temporary vacancy announcement shall indicate the date of posting and specify a deadline by which all applications must be received.

3.5 Temporary vacancy announcements shall be posted for a minimum of one week on the Intranet or be circulated by other means, such as e-mail, in the event that an Intranet is not available at the duty station concerned. A temporary vacancy announcement may also be advertised externally if deemed necessary and appropriate.

#### *Evaluation and selection*

3.6 A candidate's suitability for the position shall be assessed through interviews and/or other appropriate evaluation mechanisms, such as written tests or other assessment techniques. Following a competitive process, the head of department/office/mission shall make the selection decision.

3.7 At the time of review, the head of department/office/mission shall be required to take into account the candidate's eligibility to be appointed. A candidate who has been previously employed on a temporary appointment and who has reached the maximum authorized duration under a temporary appointment in an entity that applies the United Nations Staff Regulations and Rules, shall not be granted a new temporary appointment unless the requirement for a break in service specified in section 14 below has been met.

#### *Letter of appointment*

3.8 When a candidate has been selected and has obtained the required clearances, he/she shall be issued a letter of appointment upon entry on duty. The letter of appointment shall contain, expressly or by reference, the terms and conditions of employment and details on his/her entitlements.

### **Section 4**

#### **Fitness for duty**

4.1 In order to determine a candidate's fitness to assume the assigned functions, he/she shall be medically cleared prior to the issuance of the letter of appointment. For this purpose, a candidate who has been offered a temporary appointment may be required by the Secretary-General to undergo such medical examinations and receive such inoculations as may be required by the United Nations Medical Director or medical officer designated by the United Nations Medical Director.

4.2 The following minimum requirements shall apply for recruitment under a temporary appointment:

#### *Temporary appointments of less than six months*

A candidate who has been offered a temporary appointment of less than six months shall, unless requested to undergo a full medical examination pursuant to section 4.1 above, submit a medical certificate by a licensed medical practitioner stating that he/she is physically fit to perform the assigned functions.

*Temporary appointments of more than six months*

A candidate who has been offered a temporary appointment of six months or more, or whose shorter appointment upon extension will reach six months or more, is required to satisfy the United Nations Medical Director or medical officer designated by the United Nations Medical Director, by medical examination, that he/she is medically fit to perform the assigned functions and is free from any ailment likely to impair the health or safety of others.

**Section 5****Eligibility to apply for other positions while serving under a temporary appointment**

5.1 A staff member holding a temporary appointment shall be regarded as an external candidate when applying for other positions, and may apply for other positions at any level, subject to section 5.2 below.

5.2 A staff member from the G-5 level up to and including the D-2 level who holds a temporary appointment may not apply for the position in which he/she is serving if the position is advertised through the established procedures and will result in a fixed-term appointment following review by the central review bodies.

**Section 6****Performance evaluation**

6.1 At the end of the temporary appointment, regardless of duration, the programme manager shall issue a performance evaluation on a standard performance evaluation form for staff members holding temporary appointments. The form should state what was expected of the staff member and whether the staff member and the supervisor discussed those expectations. Signed hard copies of the standard performance evaluation form shall be included in the official status file of the staff member concerned.

6.2 A staff member who disagrees with the performance rating given at the end of his/her temporary appointment may, within seven days of signing the completed performance appraisal form, submit a written explanatory statement to the respective Executive Office of the Secretary-General, or to the Chief of Administration elsewhere. The performance appraisal form and the explanatory statement shall become part of the official status file of the staff member.

**Section 7****Salaries and related allowances**

7.1 The salary and step in grade on appointment shall be determined in accordance with established grading guidelines.

7.2 A staff member who holds a temporary appointment shall be eligible for payment of salary at the dependency rate and/or dependency allowance as appropriate, in accordance with the conditions specified in staff rule 3.6 and staff regulation 3.4 (a).

7.3 A staff member who holds a temporary appointment serving in posts subject to international recruitment as defined in staff rule 4.5 may be eligible for the

following allowances in accordance with the applicable staff rules and the conditions specified in the present administrative instruction:

- (a) Salary increments pursuant to staff rule 3.3;
- (b) Post adjustment and rental subsidy pursuant to staff rule 3.7 (a) and (d);
- (c) Hardship allowance pursuant to staff rule 3.14;
- (d) Hazard-duty pay in accordance with paragraph 3 of part VI of General Assembly resolution 51/216.

7.4 A staff member who holds a temporary appointment serving in posts subject to local recruitment as defined in staff rule 4.4 may be eligible for the following allowances in accordance with the applicable staff rules and the conditions specified in the present administrative instruction:

- (a) Salary increment pursuant to staff rule 3.3;
- (b) Overtime and compensatory time off pursuant to staff rule 3.11;
- (c) Night differential pursuant to staff rule 3.12;
- (d) Hazard-duty pay in accordance with paragraph 3 of part VI of General Assembly resolution 51/216.

## **Section 8**

### **Annual and special leave**

#### *Annual leave*

8.1 A staff member who holds a temporary appointment shall accrue annual leave while in full pay status at the rate of one and a half days per month in accordance with staff rule 5.1 (a). Upon separation, pursuant to staff rule 9.9 and subject to staff rule 4.17 (b), any accrued annual leave not utilized by the end of the temporary appointment may be commuted in a sum of money for the period of such accrued annual leave up to a maximum of 18 working days.

8.2 When service commences after the first working day of a month, one day shall be credited when service begins on or before the sixteenth day; a half day shall be credited when service begins thereafter. When service ends before the last working day of the month, a half day shall be credited for service ending on or before the fifteenth day; one day shall be credited when service ends thereafter.

#### *Special leave in exceptional circumstances*

8.3 Staff members holding a temporary appointment may exceptionally be granted special leave, with full or partial pay or without pay, for compelling reasons for such period as the Secretary-General deems appropriate pursuant to staff rule 5.3.

## **Section 9**

### **Social security**

#### *United Nations Joint Staff Pension Fund*

9.1 A staff member whose appointment is for six months or more or who completes six months of service under shorter appointments without an interruption of more than 30 calendar days shall become a participant in the United Nations Joint

Staff Pension Fund, provided that his/her letter of appointment does not exclude his/her participation, pursuant to staff rule 6.1.

#### *Sick leave*

9.2 A staff member who holds a temporary appointment shall accrue sick leave at the rate of two working days per month in accordance with staff rule 6.2. A staff member may be granted the full entitlement of the sick leave for the duration of the appointment at any point in time during his/her appointment. In cases where a staff member is on certified sick leave at the date of expiration of his or her temporary appointment, the appointment shall be exceptionally extended for the purpose of exercising the unused portion of the certified sick leave entitlement within the staff member's accrued sick leave entitlement as approved on the contract expiration date. No further extension of sick leave shall be provided, and the extension does not give rise to any other benefits or entitlements.

9.3 A staff member who holds a temporary appointment shall be entitled to uncertified sick leave subject to the maximum entitlement for sick leave pursuant to staff rule 6.2.

#### *Maternity leave*

9.4 A staff member who holds a temporary appointment is entitled to maternity leave pursuant to staff rule 6.3. In cases where maternity leave has started prior to the end of the temporary appointment but has not been completed, the appointment of the staff member will be exceptionally extended for the purpose of exercising the unused portion of the maternity leave entitlement. The appointment shall not be extended beyond the period of the maternity leave entitlement and the extension does not give rise to any other benefits or entitlements.

#### *Paternity leave*

9.5 A staff member who holds a temporary appointment is entitled to paternity leave upon completion of six months of continuous service, and when the staff member is expected by the Secretary-General to continue in service for at least three months upon return from paternity leave.

9.6 The leave may be taken either continuously or in separate periods during the year following the birth of the child, provided it is completed during that year and within the duration of the contract. The appointment shall not be extended solely in order to exercise the unused portion of the paternity leave.

#### *Compensation for service-incurred injury, illness or death*

9.7 A staff member who holds a temporary appointment shall be entitled to compensation in the event of death, injury or illness attributable to the performance of official duties on behalf of the United Nations, in accordance with the rules set forth in appendix D to the Staff Rules.

#### *Death benefits*

9.8 Where a staff member dies in the course of service, a lump sum shall be paid to the surviving spouse and/or dependent children, to be divided equally among these beneficiaries, pursuant to staff rule 9.11.

*Compensation for loss of or damage to personal effects attributable to service*

9.9 A staff member who holds a temporary appointment shall be entitled, within the limits and under terms and conditions established by the Secretary-General, to reasonable compensation in the event of loss or damage to his/her personal effects determined to be directly attributable to the performance of official duties on behalf of the United Nations, pursuant to staff rule 6.5.

## **Section 10**

### **Medical insurance**

10.1 A staff member who holds a temporary appointment of less than three months shall not be entitled to enrol in a medical plan subsidized by the Organization. Coverage is available for the staff member only under the short-term health insurance scheme applicable at the relevant duty station. If such appointment is subsequently extended for a cumulative duration of three months or more, the staff member may enrol him/herself and his/her eligible family members in a medical plan subsidized by the Organization starting from the first day of the initial appointment.

10.2 A staff member who holds a temporary appointment of three months or more may enrol him/herself and eligible family members in a medical plan subsidized by the Organization starting from the first day of that appointment.

10.3 A candidate requesting exemption from participation in a medical insurance scheme provided by the United Nations shall be required to produce evidence that he/she has secured coverage generally equivalent to United Nations coverage.

## **Section 11**

### **Travel-related entitlements**

11.1 A staff member who holds a temporary appointment serving in posts subject to international recruitment as defined in staff rule 4.5 shall be eligible for the following travel-related entitlements in accordance with the applicable staff rules and the conditions specified in the present administrative instruction:

(a) The daily subsistence allowance portion of the assignment grant in accordance with staff rule 7.14 (d);

(b) Travel expenses pursuant to staff rule 7.1 and excess baggage entitlement pursuant to staff rule 7.15, for the staff member only, as applicable;

(c) Unaccompanied shipment pursuant to staff rule 7.15 (h) (i) for the staff member only, as applicable. The relocation grant option shall be available;

(d) Travel authorized for medical, safety or security reasons pursuant to staff rule 7.1 (a) (i) (e), as applicable.

## **Section 12**

### **Staff members serving under a when-actually-employed contract**

12.1 A staff member who holds a temporary appointment and who is serving under a when-actually-employed contract is not entitled to annual, special or sick leave, maternity or paternity leave, shipment or assignment grant upon appointment, dependency or other benefits or allowances except as provided in the administrative issuance pertaining to the when-actually-employed scheme.

### **Section 13**

#### **Staff members governed by the agreements of the Association internationale des traducteurs de conférence and the Association internationale des interprètes de conférence**

13.1 A staff member who holds a when-actually-employed contract under a temporary appointment and is governed by the agreements established with AITC and AIIC is entitled to the conditions of service, allowances and benefits set out in such agreements. Where the AITC and AIIC agreements are silent, the provisions of this administrative instruction shall apply. In cases where the AITC and AIIC agreements are inconsistent with the provisions of this administrative instruction, the provisions of the AITC and AIIC agreements shall prevail.

### **Section 14**

#### **Successive temporary appointments**

14.1 Upon reaching the limit of service under one or under several successive temporary appointments within a period of 364 days as set out under section 2 above or, exceptionally, 729 days under section 15 below, the staff member shall be required to have a break in service of a minimum of three months before being eligible for appointment to a new temporary position in the same duty station within entities that apply the United Nations Staff Regulations and Rules, and shall be required to have a break in service of a minimum of 31 days if the new appointment is in a different duty station within entities that apply the United Nations Staff Regulations and Rules.

#### *Entitlements to travel, shipment and subsistence allowance for successive temporary appointments within the same duty station*

14.2 A staff member who is offered successive temporary appointments subject to international recruitment within the same duty station as defined in staff rule 4.5 shall be entitled to the following:

(a) If the successive temporary appointments are within the same department/office at the same duty station, payment of travel expenses for the staff member pursuant to staff rule 7.1 (a) (i) only shall be authorized no more than once within a 12-month period. If the successive appointments are in different departments/offices at the same duty station, additional travel shall be paid if there is a break in service of three months or more;

(b) Unaccompanied shipment entitlement applicable to the temporary appointment shall be payable only when there is a break in service of three months or more;

(c) Daily subsistence allowance portion of the assignment grant, pursuant to staff rule 7.14 (b) (i): if the successive temporary appointments are within the same department/office, the staff member shall be entitled to payment of the daily subsistence allowance once within a 12-month period. If the successive appointments are in different departments/offices at the same duty station, the daily subsistence allowance shall be payable if there is a break in service of three months or more;

(d) Travel, unaccompanied shipment and the daily subsistence allowance portion of the assignment grant shall not be paid, in any case, to a staff member

who, upon initial appointment with the Organization, did not travel at the United Nations expense because he/she was recruited at the duty station or within commuting distance from the duty station.

### **Section 15**

#### **Exceptional extension of a temporary appointment beyond the period of 364 days<sup>1</sup>**

15.1 A temporary appointment may exceptionally be extended beyond 364 days under the following circumstances:

(a) Where a temporary emergency or a surge requirement related to field operations unexpectedly continues for more than one year;

(b) Where a special project in the field or at a Headquarters duty station unexpectedly continues for more than one year;

(c) Where operational needs related to field operations, including special political missions, unexpectedly continue for more than the initial period of 364 days.

15.2 Under no circumstances shall the continuous period on a temporary appointment exceed 729 days.

15.3 A recommendation for an exceptional extension of a temporary appointment leading to continuous service of one year or more shall be sent by the programme manager to the Executive Office or the local human resources office, as appropriate. It shall be accompanied by a written justification, which must be consistent with the provisions of the present instruction. The Executive Office or the local human resources office shall decide whether or not the recommendation will be approved.

#### **Special conditions of service for temporary appointments exceptionally extended beyond 364 days**

##### *Annual leave*

15.4 A staff member whose temporary appointment has been exceptionally extended beyond the initial period of 364 days pursuant to staff rule 4.12 (b) and under the circumstances specified in section 15.1 above, may accumulate and carry forward up to 18 working days of annual leave by 1 April of any year or such other date as the Secretary-General may set for a duty station. Upon separation, pursuant to staff rule 9.9 and subject to staff rule 4.17 (b), any accrued annual leave not utilized by the end of the temporary appointment may be commuted in a sum of money for the period of such accrued annual leave up to a maximum of 18 working days.

##### *Home leave*

15.5 A staff member who is internationally recruited pursuant to staff rule 4.5 and whose temporary appointment has been exceptionally extended beyond the initial period of 364 days pursuant to staff rule 4.12 (b) and under the circumstances specified in section 15.1 shall be entitled to home leave in duty stations with a 12-month home leave cycle pursuant to staff rule 5.2 (l), subject to the specific conditions of this entitlement set out in ST/AI/2000/6 and Amend.1, on "Special entitlements for staff members serving at designated duty stations".

<sup>1</sup> Not applicable to staff governed by the AHC/AITC agreements, to whom section 13 applies.

*Repatriation grant*

15.6 A repatriation grant shall be payable to a staff member who has accrued one year or more of continuous service pursuant to annex IV to the Staff Regulations.

**Section 16**

**Termination of a temporary appointment**

16.1 A temporary appointment may be terminated in accordance with the Staff Regulations and Rules.

*Notice of termination*

16.2 A staff member whose temporary appointment is to be terminated shall be given not less than 15 calendar days' written notice of such termination or such written notice as may otherwise be stipulated in the letter of appointment.

16.3 In lieu of the notice period, the Secretary-General may authorize compensation equivalent to salary, applicable post adjustment and allowances corresponding to the relevant notice period at the rate in effect on the last day of service.

*Termination indemnity*

16.4 Staff members holding temporary appointments shall be paid a termination indemnity in accordance with staff regulation 9.3 (c), annex III to the Staff Regulations, staff rule 9.8 and the staff member's letter of appointment.

16.5 Staff members holding a temporary appointment of less than six months shall be paid a termination indemnity in accordance with the terms stipulated in the letter of appointment in an amount equivalent to one week's pay for each month of uncompleted service.

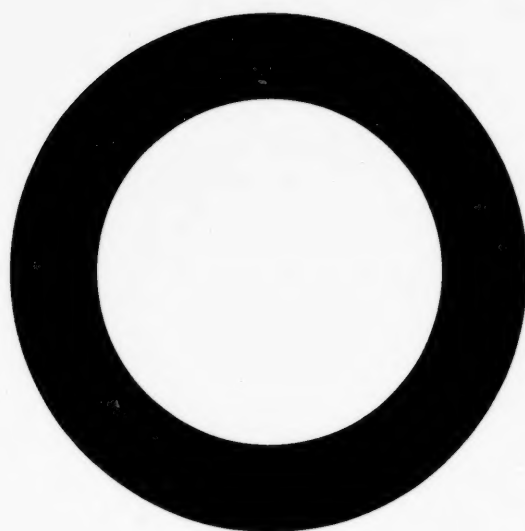
**Section 17**

**Final provisions**

17.1 The present administrative instruction shall enter into force on its date of issuance.

17.2 Administrative instructions ST/AI/295 and Amend.1 of 19 November 1982 and ST/AI/274 and Corr.1 of 30 June 1980 are hereby abolished.

(Signed) Angela Kane  
Under-Secretary-General for Management





30 April 2010

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## Administrative instruction

### Performance Management and Development System

The Under-Secretary-General for Management, pursuant to section 4.2 of Secretary-General's bulletin ST/SGB/2009/4, and for the purpose of updating the policies and procedures for performance evaluation and for replacing the Performance Appraisal System with the Performance Management and Development System, pursuant to staff rule 1.3, promulgates the following:

#### Section 1

##### Scope of application

The present instruction shall apply to all staff members who hold appointments of at least one year except for staff at the levels of Assistant Secretary-General who report to the Under-Secretary-General in their respective area of work and staff at the level of Under-Secretary-General who report directly to the Secretary-General. The present instruction does not apply to staff holding temporary appointments. Staff members with temporary appointments are evaluated under the provisions of the administrative instruction on temporary appointments.<sup>1</sup>

#### Section 2

##### Purpose

2.1 The purpose of the Performance Management and Development System is to improve the delivery of programmes by optimizing performance at all levels, which it will achieve by:

- (a) Promoting a culture of high performance, personal development and continuous learning;
- (b) Empowering managers and holding them responsible and accountable for managing their staff;
- (c) Encouraging a high level of staff participation in the planning, delivery and evaluation of work;
- (d) Recognizing successful performance and addressing underperformance in a fair and equitable manner.

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<sup>1</sup> See ST/AI/2010/4.



2.2 The function of the Performance Management and Development System is to promote communication between staff members and supervisors on the goals and key results to be achieved and the success criteria by which individual performance will be assessed. The System will also promote continuous learning, recognize successful performance and address performance shortcomings.

2.3 The Performance Management and Development System is supported by an electronic application (e-PAS or e-performance) that captures the main stages of the performance process (workplan, midpoint review and end-of-year performance appraisal).

### **Section 3**

#### **Performance evaluation cycle**

3.1 Except as provided in sections 3.2 and 3.3 of the present instruction, the performance cycle shall be 12 months. The cycle begins on 1 April of each year and ends on 31 March of the following year. However, as provided in sections 3.2 and 3.3, the performance period may be shorter or longer than the 12-month cycle, normally not less than 6 months or longer than 18 months.

3.2 When a staff member takes up new duties upon recruitment, transfer or assignment in the course of the performance year, an individual workplan shall be established within the first two months of assumption of the new function. If a staff member actively serves with the United Nations for less than six months during the performance cycle, no e-PAS or e-performance document is required to be completed.

3.3 When a staff member takes up new duties upon reassignment or transfer, the e-PAS or e-performance document shall be completed by the staff member and his/her supervisor for the period between the beginning of the performance period and the date of reassignment, transfer or separation. If the staff member remains in the same functions but serves under successive supervisors during the year, the supervisor of the staff member at the time the performance cycle ends shall complete the end-of-year evaluation, and prior supervisors should be consulted or, if applicable, act as additional supervisors for the relevant workplan goals.

3.4 To ensure timeliness of completion of the e-PAS or e-performance document, if supervisors leave the United Nations, it is their responsibility to complete the Performance Management and Development System duties required of them prior to the date of separation. Separation procedures and processing of final entitlements of supervisors may be delayed until the evaluations for which they are responsible are completed.

### **Section 4**

#### **Staff members**

4.1 All staff members shall fulfil their responsibilities under the Performance Management and Development System. Staff members are responsible for:

- (a) Understanding the larger organizational goals;
- (b) Soliciting clarification on individual performance expectations;

(c) Participating in discussions with the first reporting officer to facilitate the development and finalization of the individual workplan and maintaining discussions during the reporting period;

(d) Taking steps to complete each stage of the process for which they are responsible without delay.

4.2 Non-compliance with the terms of the present instruction by a staff member shall be recorded in his/her individual e-PAS or e-performance document and reflected in his/her overall rating. If the staff member does not take the required action on time to advance or complete the e-PAS or e-performance document, then the evaluation process may proceed outside the electronic application.

## **Section 5**

### **Reporting officers and additional supervisors**

5.1 A first reporting officer shall be designated for each staff member at the beginning of the performance cycle. The first reporting officer is responsible for:

- (a) Developing the workplan with the staff member;
- (b) Conducting the midpoint review and final evaluation;
- (c) Providing ongoing feedback on the overall work of the staff member throughout the performance cycle;
- (d) Advising, supporting and coaching the staff member on professional development and in the development of a personal development plan;
- (e) Developing a performance improvement plan in consultation with the staff member in the case of performance shortcomings or underperformance, if applicable;
- (f) Ensuring that all e-PAS and/or e-performance documents of staff supervised are completed in accordance with the prescribed procedures.

5.2 Up to two additional supervisors may be designated when a staff member works for more than one supervisor for more than 25 per cent of his/her time or for assignments of at least 30 working days, provided such arrangements are put into place with the agreement of the first reporting officer at the workplanning stage or at the beginning of the additional assignment or when the staff member's supervisor changes during the cycle.

5.3 The second reporting officer, who shall be the first reporting officer's supervisor or equivalent, is responsible for:

- (a) Ensuring that the first reporting officer understands and applies the Performance Management and Development System principles and procedures;
- (b) Holding the first reporting officer accountable for developing, together with staff, workplans with fair and consistent performance expectations and ensuring linkages between department/office priorities and individual workplans;
- (c) Holding the first reporting officer accountable for the timely appraisal of the staff member's performance;
- (d) Providing ongoing feedback and evaluating the first reporting officer's ability to manage the performance of his/her supervisees;

(e) Resolving disagreements between the staff member and the first reporting officer in the implementation of the Performance Management and Development System;

(f) Overseeing the establishment and implementation of a performance improvement plan in case of performance shortcomings or underperformance, as provided for in section 10 of the present instruction.

5.4 The second reporting officer also has the broader responsibility of ensuring that the Performance Management and Development System is consistently and fairly applied across work units by all first reporting officers who report to him or her. The second reporting officer shall ensure fairness and consistency throughout the cycle, especially when defining performance expectations and communicating performance standards. The second reporting officer ensures consistency between the competency and core values ratings, the comments and the overall rating of individual staff members for a given performance cycle. A staff member normally has one second reporting officer at any given time throughout the reporting cycle.

5.5 Non-compliance with the terms of the present instruction by the first or the second reporting officer shall be recorded in his/her e-PAS or e-performance document and be reflected in his/her overall rating. To this effect, the first and second reporting officers' workplan shall include a goal for timely implementation and compliance of the Performance Management and Development System.

## **Section 6**

### **Departmental priorities, work unit and individual plans**

6.1 Prior to the beginning of the performance cycle, and for the purposes of strengthening accountability in the Secretariat, senior managers meet with the Secretary-General and develop a compact and a human resources action plan. Priorities of heads of departments/offices/missions are translated into workplans of work units as per each department/office/mission structure. Work unit plans are developed in consultation with staff members concerned on an annual or biennial basis, depending on the needs of the department/office/mission.

### **Individual plans**

6.2 At the beginning of the performance cycle, supervisors shall meet with the staff under their direct supervision to ensure that the objectives of the work unit are understood and individual workplans are prepared. Supervisors may meet with the staff in their work unit either as a group or individually.

6.3 First reporting officers shall work with staff members they supervise on the development of the staff member's individual workplan for the performance cycle. The workplanning stage includes: (a) establishing individual performance evaluation criteria by setting goals/key results/achievements; (b) defining core competencies, managerial competencies (where applicable), and job-related competencies (where applicable); and (c) formulating a personal development plan, as follows:

(a) Workplan: each staff member, together with his or her first reporting officer, prepares a draft workplan for discussion between the staff member and the first reporting officer. Upon the discussion and an agreement with the first reporting officer, the staff member revises, if necessary, and submits the final workplan to the

first reporting officer. The format of the workplan may vary depending on the functions of the staff member, but must include results-oriented elements such as goals/key results/achievements; actions to undertake to achieve each goal/key result/achievement; and measurement through a statement of success criteria, performance expectations and behavioural indicators to evaluate performance at the end of the cycle. When more than one staff member performs the same function, performance expectations may be collectively developed, while allowing for individual variations, where appropriate;

(b) Competencies: the organizational competencies listed in ST/SGB/1999/15<sup>2</sup> define a performance standard against which all staff can be consistently and objectively evaluated. All staff members are held accountable for demonstrating the three core values of integrity, professionalism and respect for diversity/gender equality. In the discussion of the workplan, the staff member and first reporting officers shall select the most relevant competencies related to the goals/key results/achievements identified for the reporting cycle and, where appropriate, managerial competencies. Staff with managerial or supervisory responsibilities must include managing performance among the selected competencies for the reporting period, and they will be held accountable for the effectiveness of their implementation of the Performance Management and Development System. Specific job-related competencies may be added where appropriate;

(c) Personal development plan: every staff member is expected to complete a development plan. Staff members may indicate competencies they wish to strengthen and career aspirations for future assignments. Every staff member is also expected to set a minimum target of five days for professional development per year in accordance with the learning and development policy (see ST/SGB/2009/9).

## Section 7

### Midpoint performance review

7.1 During the course of the year, the first reporting officer and the staff member should hold conversations and dialogue, formally and informally, and may have exchange of e-mails and/or other written communication on the progress of the performance goals set for the year. These conversations or written communications should address recognition for good performance and any shortcomings as they become apparent at any time during the cycle.

7.2 The first reporting officer should conduct a midpoint review, usually six months after the creation of the workplan, after discussing with the staff member the progress to date of the goals/key results set in the workplan. The review should indicate the progress made, and justify any updates to the workplan goals/key results. The first reporting officer should also note the progress made in demonstrating the competencies and the progress on the personal development plan. Staff members may note the progress made on the goals set in the workplan, the competencies and the personal development plan.

7.3 The signature of the staff member on the e-PAS or e-performance document constitutes an acknowledgement that the midterm review has been completed. It

<sup>2</sup> The organizational competencies are further explained in the booklet entitled *United Nations Competencies for the Future*.

does not indicate that parties are in agreement. In case of disagreement between the staff member and the first reporting officer about the progress of the workplan to date, efforts to resolve the dispute shall be by both parties, with the assistance of the second reporting officer when necessary.

## **Section 8**

### **Appraising performance**

8.1 Within three months after the end of the performance appraisal cycle, the first reporting officer and the staff member shall meet to discuss the overall performance during the cycle. Alternatively, the discussion may take place by telephone or videoconference.

8.2 Prior to the end-of-cycle discussion between the first reporting officer and the staff member, the staff member is encouraged to conduct a self-appraisal of the manner in which he or she has carried out the workplan defined at the beginning of the performance cycle. The self-appraisal can contain a short description of the progress to date related to each goal/key result/achievement, and comments on his/her competencies demonstrated during the period and the achievement of the personal development plan.

8.3 The first reporting officer shall evaluate the extent to which the staff member has achieved the goals/key results/achievements as set out in his/her workplan. The first reporting officer shall also evaluate and comment on the manner in which the staff member has demonstrated the core values and competencies. The first reporting officer may comment on the staff member's self-appraisal in his/her evaluation of the staff member. First reporting officers are encouraged to discuss the career aspirations of staff during the end-of-the year discussion. An overall rating on the staff member's performance shall be given by the first reporting officer pursuant to section 9 below.

8.4 To reflect a fuller range of performance, feedback from additional supervisors should be taken into account by the first reporting officer, provided the requirements of section 5.2 above have been met.

8.5 Evaluations are reviewed by the second reporting officer, who may make comments, as appropriate. All parties shall sign the completed e-PAS or e-performance document. The signature of the staff member constitutes an acknowledgement that the performance review has been conducted. It does not indicate that the staff member is in agreement with the evaluation. The rebuttal process provided for in section 15 below cannot be initiated unless the staff member has signed off on the finalized evaluation. If an e-PAS is submitted for signature to a staff member and the staff member does not sign, the e-PAS is considered to be signed by the staff member after 14 days of its receipt by the staff member. A staff member who does not sign his/her e-PAS shall be so informed and the 14-day period for submission of a rebuttal statement by the staff member pursuant to section 15.1 below shall commence as of the date of notification to the staff member.

## **Section 9**

### **Rating system**

#### **Individual core values and competency ratings**

9.1 Staff shall be appraised on the basis of the indicators that correspond to each of the core values and competencies and shall be given one of the following four ratings:

- Outstanding;
- Fully competent;
- Requires development;
- Unsatisfactory.

9.2 Each of these individual ratings establishes the level of demonstration of each of the core values and competencies by the staff member during the performance cycle. The appraisal should be based on the degree to which the individual has been observed as acting or behaving in accordance with the particular competency or value. Competency and core value ratings are a basis for staff development and shall be taken into account when determining the overall performance ratings.

#### **Overall performance ratings**

9.3 Staff who have met or exceeded performance expectations should be given one of the following two overall ratings:

- Exceeds performance expectations;
- Successfully meets performance expectations.

9.4 These two ratings establish full satisfaction with the work performed and justify awarding a salary increment in accordance with section 16.3 below. These ratings shall be so viewed when staff members are considered for selection for a post at the same or higher level, without prejudice to the discretionary authority of the Secretary-General to appoint staff members.

9.5 A rating of "exceeds performance expectations" should be considered in cases where the staff member has surpassed the success criteria and/or performance expectations for the majority of the defined goals/key results and/or has continually gone beyond expectations; significantly surpassing success criteria and/or performance expectations in quantity and quality.

9.6 A rating of "successfully meets performance expectations" should be considered in cases where the staff member has fully achieved the defined success criteria and/or performance expectations for the majority of the goals/key outputs during the performance cycle.

9.7 Staff who have not fully met performance expectations should be given one of the following two overall ratings:

- Partially meets performance expectations;
- Does not meet performance expectations.

These two ratings indicate the existence of performance shortcomings.

9.8 A rating of “partially meets performance expectations” should be considered when the staff member did not meet the defined success criteria and/or performance expectations for some of the goals/key results but demonstrates potential to develop the required skills.

9.9 A rating of “does not meet performance expectations” should be considered when the staff member did not meet the defined success criteria or performance expectations for the majority of the goals/key results; and the staff member demonstrates an inability to develop the required skills.

## **Section 10**

### **Identifying and addressing performance shortcomings and unsatisfactory performance**

10.1 During the performance cycle, the first reporting officer should continually evaluate performance. When a performance shortcoming is identified during the performance cycle, the first reporting officer, in consultation with the second reporting officer, should proactively assist the staff member to remedy the shortcoming(s). Remedial measures may include counselling, transfer to more suitable functions, additional training and/or the institution of a time-bound performance improvement plan, which should include clear targets for improvement, provision for coaching and supervision by the first reporting officer in conjunction with performance discussions, which should be held on a regular basis.

10.2 If the performance shortcoming was not rectified following the remedial actions indicated in section 10.1 above, and, where at the end of the performance cycle performance is appraised overall as “partially meets performance expectations”, a written performance improvement plan shall be prepared by the first reporting officer. This shall be done in consultation with the staff member and the second reporting officer. The performance improvement plan may cover up to a six-month period.

10.3 If the performance shortcoming was not rectified following the remedial actions indicated in section 10.1, a number of administrative actions may ensue, including the withholding of a within-grade salary increment pursuant to section 16.4, the non-renewal of an appointment or the termination of an appointment for unsatisfactory service in accordance with staff regulation 9.3.

10.4 Where at the end of the performance cycle performance is appraised overall as “does not meet performance expectations”, the appointment may be terminated as long as the remedial actions indicated in section 10.1 above included a performance improvement plan, which was initiated not less than three months before the end of the performance cycle.

10.5 Should unsatisfactory performance be the basis for a decision for a non-renewal of a fixed-term appointment and should the appointment expire before the end of the period covering a performance improvement plan, the appointment should be renewed for the duration necessary for the completion of the performance improvement plan.

## **Section 11**

### **Implementation and monitoring by heads of departments and offices**

11.1 Heads of departments/offices/missions are responsible for the implementation of the Performance Management and Development System process. To enhance managerial accountability at all levels, Performance Management and Development System implementation is included as a key indicator in the human resources action plans in order to emphasize the importance of senior management leadership in performance management.

11.2 Primary responsibility for the timely execution of the Performance Management and Development System, overall compliance and consistent and fair implementation rests with the head of department/office/mission. The head of department/office/mission shall promote communication between staff members and their supervisors, encourage ongoing feedback and dialogue and ensure that any change in the mandate or priorities of the department/office is communicated to the staff.

11.3 Each department/office shall report to the Office of Human Resources Management (OHRM) on compliance, consistency and fairness in the implementation, ratings and other relevant data no later than 30 June of each year. Each peacekeeping operation and special political mission shall submit this information to the Field Personnel Division of the Department of Field Support, which shall collate and forward the information to OHRM. The Executive Office or Human Resources Office for the department/office should ensure that completed individual official records are maintained.

11.4 The head of the department/office/mission shall hold all managers and supervisors accountable for the effective use of the Performance Management and Development System through all stages of the process and provide advice and recommendations where warranted. The head of department/office/mission should ensure that the department/office/mission priorities are communicated to all staff members of the department/office. The head of department/office/mission may also establish performance standards for the department or office as the basis for individual success criteria.

11.5 One of the functions of the senior management team of each department/office/mission should be to assist the head of department/office/mission in establishing a performance and development strategy for the department/office/mission and its implementation, as provided for in section 11.1 above.

11.6 At least once a year, the senior management team of each department/office/mission shall devote a meeting to performance management. At that meeting, the team should review staff development and career support needs in the light of strategic human resources management issues for the department/office/mission, including training and succession management. The team may also provide guidance on recognition of successful performance or addressing performance shortcomings at the departmental/office/mission level.

## **Section 12**

### **Joint Monitoring Group**

12.1 A Joint Monitoring Group shall be established by each department/office or by region or duty station outside of headquarters. The members of the Group shall be

appointed by the head of department/office. The Group shall normally consist of two members nominated by management, two members nominated by the staff from the department/office, in accordance with local practice, and a chairperson selected by the head of the department/office in consultation with the staff. Each member shall serve for a two-year renewable term.

12.2 The Under-Secretary-General for Field Support, in consultation with the Under-Secretary-General for Peacekeeping Operations, and the Under-Secretary-General for Political Affairs shall establish Joint Monitoring Groups on a regional basis, as appropriate.

12.3 Each Joint Monitoring Group shall monitor and review the implementation of the Performance Management and Development System by the departments/offices/missions concerned with respect to timeliness of the process and compliance with its purpose and procedures provided in section 2. Joint Monitoring Groups shall work with the respective departments/offices/missions to support the institutionalization of the Performance Management and Development System. The Joint Monitoring Group may request the heads of departments/offices/missions for statistical information necessary for the discharge of its functions. The Office of Human Resources Management may provide ex officio support in the provision of this information or the preparation of these consolidated reports.

12.4 The Joint Monitoring Group shall meet once a year at the end of the performance year. It shall report to the Global Joint Monitoring Group no later than 31 July of each year. The Joint Monitoring Group reports shall include a compliance review of the end-of-year appraisals and an overall summary of the Performance Management and Development System implementation process in each department/office/mission for that year.

### **Section 13**

#### **Global Joint Monitoring Group**

13.1 The Global Joint Monitoring Group shall be a subsidiary body of the Staff-Management Coordination Committee. It shall be composed of two members nominated by management, two nominated by the staff and a chairperson appointed after staff consultation by the President of the Staff-Management Coordination Committee. Each member shall serve for a one-year renewable term.

13.2 The Global Joint Monitoring Group shall meet once a year, immediately prior to the annual meeting of the Staff-Management Coordination Committee. It shall examine policy issues related to the implementation of the Performance Management and Development System across the Organization. It shall review the reports submitted by Joint Monitoring Groups and prepare an annual report on the implementation of the Performance Management and Development System in the various departments/offices/missions. That report shall include recommendations on the implementation and overall effectiveness of the Performance Management and Development System and shall be submitted to the Staff-Management Coordination Committee for onward transmittal to the Secretary-General.

## **Section 14**

### **Rebuttal panels**

14.1 In consultation with the staff representatives of the department/office/mission concerned, the head of the department/office/mission, or his or her representative, shall draw up a list of rebuttal panel members composed of three groups of staff members from the department/office/mission concerned, in equal numbers. The list shall be composed as follows:

- (a) Rebuttal panel members designated by the head of the department/office/mission;
- (b) Rebuttal panel members designated by the staff representatives of the department/office/mission in accordance with local practice;
- (c) Rebuttal panel chairpersons, selected by the head of the department/office/mission after consultation with the staff representatives of that department/office/mission.

The approved list, subdivided as indicated above, shall normally comprise nine individuals in all for large departments/offices, and six for smaller departments/offices. However, if a department/office determines that a larger membership pool is needed, it may expand the membership by adding one or more members to each of the groups specified above. Every effort shall be made to obtain an appropriate geographical and gender balance, where possible. Members must have adequate knowledge and experience required to review the appraisal and its rating. The head of the department/office shall inform the staff in writing of the composition of the approved list.

14.2 Rebuttal panel members shall serve for a two-year term. In the event that a member of the rebuttal panel is assigned to functions outside the department/office concerned, he or she shall be replaced in accordance with the procedure relevant to the group to which the rebuttal panel member belongs.

14.3 Where it is not possible to constitute a list from the staff members of that office, the approved list may include staff members from other offices at the same duty station, provided those staff members have the knowledge and experience required to review the appraisal and its rating.

## **Section 15**

### **Rebuttal process**

15.1 Staff members who disagree with a "partially meets performance expectations" or "does not meet performance expectations" rating given at the end of the performance year may, within 14 days of signing the completed e-PAS or e-performance document, submit to their Executive Officer at Headquarters, or to the Chief of Administration/Chief of Mission Support, as applicable, a written rebuttal statement setting forth briefly the specific reasons why a higher overall rating should have been given. Staff members having received the rating of "consistently exceed performance expectations" or "successfully meets performance expectations" cannot initiate a rebuttal.

15.2 The rebuttal statement shall contain the names of the three individuals, one from each of the three groups identified in section 14.1, whom the staff member has

selected to serve on the rebuttal panel, each of whom is equal in grade or higher than the reporting officer whose evaluation or comments are being rebutted.

15.3 After receiving a copy of the rebuttal statement, the head of department/office/mission, or his or her representative, shall, within 14 days, prepare and submit to the rebuttal panel a brief written statement in reply to the rebuttal statement submitted by the staff member. A copy of the reply to the rebuttal statement shall be given to the staff member. Unless geographical location makes it impractical, the panel shall hear the staff member, the first and second reporting officers and, at the discretion of the panel, other individuals who may have information relevant to the review of the appraisal rating. Telephone statements may also be taken where geographical separation so dictates.

15.4 The rebuttal panel shall prepare, within 14 days after the review of the case, a brief report setting forth the reasons why the original rating should or should not be maintained. In the event that an overall rating or comments should not be maintained, the rebuttal panel should designate the new rating or modify the narrative on performance evaluation. The report of the rebuttal panel shall be placed in the staff member's official status file as an attachment to the completed e-PAS or e-performance document and communicated to OHRM, or the Field Personnel Division of the Department of Field Support, as appropriate.

15.5 The performance rating resulting from the rebuttal process shall be binding on the head of the department/office/mission and on the staff member concerned, subject to the ultimate authority of the Secretary-General as Chief Administrative Officer of the Organization, who may review the matter as needed on the basis of the record. Any change in the final rating, and the date of the decision, shall be communicated to OHRM with an annotation that the rating was changed as a result of a review of the performance management and development rebuttal and the final rating recommended by the rebuttal panel.

15.6 Should unsatisfactory performance be the basis for a decision of non-renewal of an appointment and should the appointment expire before the end of the rebuttal process, the appointment should be renewed for the duration necessary to the completion of the rebuttal process.

15.7 The rating resulting from an evaluation that has not been rebutted is final and may not be appealed. However, administrative decisions that stem from any final performance appraisal and that affect the conditions of service of a staff member may be resolved by way of informal or formal justice mechanisms.

## **Section 16**

### **Performance Management and Development System and salary increments**

16.1 Under staff rule 3.3 (a), the granting of salary increments is subject to the satisfactory performance and conduct of staff members as evaluated by their supervisors, unless otherwise decided by the Secretary-General in any particular case. The determination that service is satisfactory in respect of performance and the procedures for withholding a salary increment when such a determination cannot be made are governed by the provisions of this section.

16.2 The decision to award or withhold a salary increment on the basis of performance shall be made by the second reporting officer, based on the rating awarded by the first reporting officer as reflected in the e-PAS or e-performance document.

16.3 The following ratings, as specified in section 9.3, shall justify a determination that awarding a salary increment is warranted:

- Exceeds performance expectations;
- Successfully meets performance expectations.

16.4 The following ratings as specified in section 9.7 above shall justify a determination that awarding a salary increment is not warranted:

- Partially meets performance expectations;
- Does not meet performance expectations.

16.5 When the salary increment is withheld because performance “partially meets performance expectations”, the increment will be withheld pending the outcome of a performance improvement plan. If the staff member’s performance improves following the completion of the performance improvement plan, he/she shall be granted the salary increment effective the date of successful completion of the performance improvement plan.

16.6 The decision to withhold a salary increment shall be communicated to the staff member in writing, before the decision is implemented, with a copy to OHRM, or to the local human resources office at offices away from Headquarters and regional commissions, or the Field Personnel Division of the Department of Field Support, for peacekeeping operations and special political missions.

16.7 Should the Performance Management and Development System rating on the basis of which a salary increment has been withheld be upgraded at a later stage as a result of the rebuttal process described in this section, and should the new rating justify the award of the salary increment, that increment shall be awarded and made effective as from the date on which it would have otherwise been paid.

## **Section 17**

### **Performance Management and Development System e-forms and guidelines**

17.1 The Performance Management and Development System document and guidelines are available to all staff on the Internet and through their relevant executive and human resources offices.

17.2 The Performance Management and Development System guidelines are intended solely for general guidance and information. Should there be any inconsistency between the guidelines and the text of the present instruction, the provisions of the instruction shall prevail.

## **Section 18**

### **Entry into force and transitory provisions**

18.1 The present instruction shall enter into force on 1 April 2010.

18.2 ST/AI/2002/3 is hereby abolished. However, performance appraisals anterior to the performance cycle 2010-2011 shall be conducted and completed in accordance with the procedures described in ST/AI/2002/3.

(Signed) Angela Kane  
Under-Secretary-General for Management



12 May 2010

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**Administrative instruction****Performance Management and Development System****Corrigendum****Section 15****Paragraph 15.4**

For the existing text *substitute*

The rebuttal panel shall prepare, within 14 days after the review of the case, a brief report setting forth the reasons why the original rating should or should not be maintained. In the event that an overall rating should not be maintained, the rebuttal panel should designate the new rating on performance evaluation. The report of the rebuttal panel shall be placed in the staff member's official status file as an attachment to the completed e-PAS or e-performance document and also communicated to OHRM, or the Field Personnel Division of the Department of Field Support, as appropriate.

**Section 16****Paragraph 16.7**

For the existing text *substitute*

Should the Performance Management and Development System rating on the basis of which a salary increment has been withheld be upgraded at a later stage as a result of the rebuttal process described under section 15, and should the new rating justify the award of the salary increment, that increment shall be awarded and made effective as from the date on which it would have otherwise been paid.



20 May 2010

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**Administrative instruction****Road and driving safety**

The Under-Secretary-General for Management, pursuant to section 4.2 of Secretary-General's bulletin ST/SGB/2009/4, and to address the appropriate use and operation of United Nations vehicles worldwide and to ensure road and driving safety, hereby promulgates the following measures aimed at improving awareness of and compliance with requirements and provisions for road and driving safety.

**Section 1****Purpose**

Road and vehicle-related accidents are a common cause of injury and death among United Nations personnel. The United Nations strives to promote and to assist drivers to enhance the safe operation of United Nations vehicles in order to reduce risks of road incidents to themselves, their colleagues and families and third parties. It is recommended that United Nations personnel apply the same rules when they drive private vehicles.

**Section 2****Scope**

The present instruction applies to all staff, irrespective of their location, including in peacekeeping operations and special political missions, offices away from Headquarters and regional commissions. These measures are promulgated to govern the use of United Nations vehicles and to ensure road and driving safety, in addition to mission-specific vehicle use guidelines and country-specific minimum operating security standards.

**Section 3****Road safety**

For the purpose of mitigating accidents involving the operation of United Nations vehicles, on the road or elsewhere, the following measures shall be complied with immediately:

*Mandatory quick inspection before beginning a journey*

Before beginning a journey, drivers of United Nations vehicles must conduct a "quick visual inspection" and walk around the vehicle to ensure that the tyres are

properly inflated and that the brakes, signal lights and headlights are working properly.

*Prohibition of the use of mobile phones or any other electronic devices while driving vehicles*

At all times, drivers of United Nations vehicles must exercise proper control of the vehicle. Talking, messaging and using electronic devices, such as hand-held or vehicle-mounted radios and videos, while driving a vehicle are sources of distraction that necessarily prevent proper control and significantly increase the likelihood of an accident.

Drivers of United Nations vehicles are, therefore, strictly prohibited from distracting themselves while driving a United Nations vehicle. Use of radios and mobile communication equipment (including but not limited to mobile phones) to transmit and receive information during an emergency or urgent situations shall be permitted only when a United Nations vehicle is not in motion and is parked in a safe location. In extremely urgent or emergency situations when it is not safe or possible to stop or park a United Nations vehicle, drivers must keep their radio or telephone communication short.

Managers and/or supervisors should not expect drivers of United Nations vehicles to respond to phone calls while they are driving a United Nations vehicle. Drivers of United Nations vehicles required to check in with their supervisors should do so when not driving.

*Prohibition of smoking or eating while driving a vehicle*

Drivers of United Nations vehicles are strictly prohibited from activities that would interfere with or distract from their exercising full control over a United Nations vehicle at all times, such as smoking or eating while driving.

*Mandatory use of seat belts*

All persons on board a United Nations vehicle must wear a seat belt at all times. Drivers of United Nations vehicles are responsible for ensuring that all passengers comply with this requirement and shall not begin to travel until all passengers have their seat belts securely fastened. United Nations staff responsible for the maintenance and management of United Nations vehicles shall ensure that all passenger seats are equipped with seat belts before such vehicles are allowed to be utilized. In case there are children among the passengers, they shall never sit in the front seat and shall be secured with child restraints.

*Mandatory use of safety helmets*

In instances where the use of a safety helmet and goggles is required (for the operation of motorcycles, mopeds and bicycles, for example), all persons operating or aboard a United Nations vehicle, especially two-wheel vehicles, must wear the standard protective safety equipment.

*Prohibition of driving vehicles under the influence of substances*

Driving under the influence of alcohol and/or drugs adversely affects decision-making, coordination, sight, touch, hearing and judgement, which represents a

significant increase in risk for drivers and passengers of United Nations vehicles, as well as third parties, in cases of vehicle accidents.

Drivers of United Nations vehicles are strictly prohibited from driving under the influence of substances that negatively affect their driving ability, including alcohol, drugs, narcotics, psychotropics, chemical substances and medicines.

*Prohibition of inappropriate and excessive speed*

At all times, drivers of United Nations vehicles must comply with local traffic laws and road signs in respect of vehicle operations, specifically posted speed limits. In cases where speed limit signs are not posted, drivers of United Nations vehicles must exercise proper caution while driving.

Excessive speed reduces the time required to avoid an accident and increases the likelihood of an accident, as well as the severity of any accident. Travelling at excessive speed must be avoided. Inappropriate speed (for example, within the allowed speed limit but in conditions of very low visibility, heavy snow or rain or similar dangerous driving conditions) shall also be avoided.

*Possession of required driving licences*

United Nations vehicles must be operated only by staff members and drivers who have been duly authorized to do so at the respective duty station. This shall include non-motorized vehicles and two-wheel vehicles, as applicable. Where United Nations managers deem appropriate, United Nations drivers and other staff may be required to undertake written and practical driving and road safety tests.

#### **Section 4**

##### **Staff and management responsibility**

Staff members in charge of managing United Nations vehicle fleets in each location are responsible for the following safety-related duties:

- Ensuring timely and satisfactory certification of the technical inspections that United Nations vehicles must undergo periodically.
- Ensuring the provision and use of special reflecting vests (or similar apparel) when breakdowns of United Nations vehicles occur, irrespective of location, duration and surrounding circumstances.
- Ensuring that all drivers have the proper valid national/international driving licence accepted by the corresponding national authorities for the operation of United Nations vehicles and issuing authorizations to operate United Nations vehicles.
- Ensuring that all United Nations vehicles have fully-equipped first aid kits and that drivers are familiar with their use.
- Displaying clearly written rules on the prohibition of speeding, driving under the influence, and the like on staff bulletin boards (or similarly visible locations) and in every United Nations vehicle.
- Ensuring that the vehicle indemnity form is signed by all non-United Nations personnel travelling in a United Nations vehicle.

- Enforcing the notions of “safety first” and “defensive driving” as mandatory criteria for the behaviour of drivers of United Nations vehicles in road traffic.

#### **Section 5**

##### **Enforcement**

Failure to comply with the provisions of the present instruction and all other administrative issuances concerning the driving of United Nations vehicles, including, but not limited to, involvement in an accident or violation of local traffic laws, may lead to the institution of disciplinary proceedings against the staff member(s) concerned.

#### **Section 6**

##### **Final provisions**

The present instruction shall enter into force on the date of its issuance.

(Signed) Angela Kane  
Under-Secretary-General for Management

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